

## **COMPLIANCE CHECKLIST**

### **► Outpatient Surgical Facilities**

The following Checklist is for plan review of ambulatory surgery centers that meet licensure criteria and hospital outpatient surgical facilities. This checklist is derived from the AIA Guidelines for Design and Construction of Health Care Facilities, 2006 Edition (specific sections indicated below), appropriately modified to respond to DPH requirements for projects in Massachusetts which include Hospital Licensure Regulations 105 CMR 130.000, Clinic Licensure Regulations 105 CMR 140.000 and Department Policies. Applicants must verify compliance of the plans submitted to the Department with all the requirements of the AIA Guidelines, Licensure Regulations and Department Policies when filling out this Checklist. The completed DPH Affidavit Form must be included in the plan review submission for Self-Certification or Abbreviated Review Part II. A separate Checklist must be completed for each outpatient department

Other jurisdictions, regulations and codes may have additional requirements which are not included in this checklist, such as:

- State Building Code (780 CMR)
- Joint Commission on the Accreditation of Health Care Organizations
- CDC Guidelines for Preventing the Transmission of Mycobacterium Tuberculosis in Health Care Facilities
- Accessibility Guidelines of the Americans with Disabilities Act (ADA)
- Architectural Access Board Regulations (521 CMR)
- Local Authorities having jurisdiction

#### Instructions:

1. The Checklist must be filled out completely with each application
2. Each requirement line (\_\_\_\_) of this Checklist must be filled in with one of the following checklist symbols, unless otherwise directed. If an entire Checklist section is not affected by a renovation project, "E" for existing conditions may be indicated on the requirement line (\_\_\_\_) before the section title (e.g. E EXAM ROOMS). If more than one space serves a given required function (e.g. exam room), two checklist symbols separated by a slash may be used (e.g. "E/X"). Clarification should be provided in that regard in the Project Narrative.
 

<p><b>X</b> = Requirement is met, for new space, for renovated space, or for existing support space for an expanded service.</p> <p><b>E</b> = Requirement relative to an existing suite or area that has been <i>licensed</i> for its designated function, is <i>not affected</i> by the construction project and <i>does not pertain to a required support space</i> for the specific service affected by the project.</p>	<p><input checked="" type="checkbox"/> = Check box under section titles or individual requirements lines for optional services or functions that are not included in the health care facility.</p> <p><b>W</b> = Waiver requested for Guidelines, Regulation or Policy, where hardship in meeting requirement can be proven (please complete Waiver Form for each waiver request, attach 8½" x 11" plan &amp; list the requirement reference # on the affidavit).</p>
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3. Mechanical, electrical & plumbing requirements are only partially mentioned in this checklist. Section **3.1-7** of the Guidelines must be used for project compliance with all MEP requirements and for waiver references
4. Oxygen, vacuum & medical air outlets are identified respectively by the abbreviations "OX", "VAC" & "MA"
5. Requirements referred to as "Policies" are DPH interpretations of the AIA Guidelines or of the Regulations
6. Reference to a requirement from the AIA Guidelines in any waiver request must include the chapter number (e.g. "**3.7-**") and the specific section number.

Facility Name:

DoN Project Number: (if applicable)

Facility Address:

Satellite Name: (if applicable)

Building/Floor Location:

Satellite Address: (if applicable)

Submission Dates:

Project Description:

Initial Date:

Revision Date:

Note: All room functions marked with "X" must be shown on the plans with the same name labels as in this checklist.

**ARCHITECTURAL REQUIREMENTS****MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS****3.1-1.6** FACILITY ACCESS

- 1.6.2 ☐ Building entrance  
☐ grade level  
☐ clearly marked  
☐ access separate from other activity areas
- 1.6.3 ☐ Design precludes unrelated traffic within the facility

**3.7-1.3** ENVIRONMENT OF CARE

- 1.3.1 ☐ Patient visual & acoustical privacy  
☐ registration  
☐ preparation  
☐ examination  
☐ treatment  
☐ recovery areas

**3.7-1.5.2** LAYOUT

- ☐ outpatient surgical facility divided into 3 designated areas:  
unrestricted, semi-restricted & restricted  
☐ boundaries of 3 designated areas are shown on the plans

**3.7-1.6.1** PARKING

- ☐ Min. 4 parking spaces for each OR  
☐ Min. 1 parking space for each staff member  
☐ Additional parking spaces convenient to facility entrance  
for pickup of patients after recovery

**3.7-2** EXAMINATIONS

- |                                       |  |           |   |   |
|---------------------------------------|--|-----------|---|---|
| <b>3.1-2.1.1/</b><br><b>3.1-2.1.3</b> | <input type="checkbox"/> Examination room<br><input type="checkbox"/> min. 80 sf<br>(excluding vestibules<br>& fixed casework)<br><input type="checkbox"/> min. clearance 2'-8"<br>at sides & foot of<br>exam table<br><input type="checkbox"/> documentation space<br>with charting counter | <b>or</b> | <input type="checkbox"/> Treatment room for minor<br>surgical procedures<br><input type="checkbox"/> min. 120 sf<br>(excluding vestibules<br>& fixed casework)<br><input type="checkbox"/> min. dimension 10'-0"<br><input type="checkbox"/> min. clearance 3'-0"<br>at sides & foot of<br>treatment table<br><input type="checkbox"/> documentation space<br>with charting counter | <input type="checkbox"/> Handwashing station<br><input type="checkbox"/> Vent. min. 6 air ch./hr<br><input type="checkbox"/> Portable or fixed exam light<br><input type="checkbox"/> Min. 2 el. duplex receptacles |
|---------------------------------------|--|-----------|---|---|

**3.7-2.3** OPERATING ROOMS

(OR classes conform to definitions established by American College of Surgeons)

- Ventilation\*
- ☐ min. 15 air ch./hr  
☐ positive pressure  
☐ supply diffusers center of ceiling  
☐ 2 remote return grilles at floor level  
☐ individual temperature controls
- Plumbing\*
- ☐ no floor drains
- Electrical\*
- ☐ special lighting at operating table  
☐ general lighting  
☐ separate circuits  
☐ medical image viewer  
☐ lighting on emergency power  
☐ all receptacles & fixed  
equipment on emergency power  
☐ emergency communication system  
connected with control station

\*common requirements (Classes A, B & C)

**ARCHITECTURAL REQUIREMENTS**

- 2.3.1.1 ☐ Class **A** operating rooms (minor surgery)  
☐ check if function not included in facility  
 (1) ☐ min. 150 sf  
☐ min. clear dimension 12'-0"  
 (excluding vestibule & fixed casework)  
 (2) ☐ min. clearance 3'-6" at each side, head & foot of  
 operating table  
 (3) ☐ located within restricted corridors of surgical suite or  
 in unrestricted corridor adjacent to surgical suite

- 2.3.1.2 ☐ Class **B** operating rooms (intermediate surgery)  
☐ check if function not included in facility  
 (1) ☐ min. 250 sf  
☐ min. clear dimension 15'-0"  
 (excluding vestibule & fixed casework)  
 (2) ☐ min. clearance 3'-6" at each side, head & foot of  
 operating table  
 (3) ☐ located within restricted corridors of surgical suite

- 2.3.1.3 ☐ Class **C** operating rooms (major surgery)  
☐ check if function not included in facility  
 (1) ☐ min. 400 sf  
☐ min. clear dimension 18'-0"  
 (excluding vestibule & fixed casework)  
 (2) ☐ min. clearance 4'-0" at each side, head & foot of  
 operating table  
 (3) ☐ located within restricted corridors of surgical suite

**3.7-2.4** ☐ POST-ANESTHESIA RECOVERY ROOM

- (1) ☐ Directly accessible from semi-restricted area  
 (2) ☐ Nurse utility/control station  
☐ visualization of patients in acute recovery positions  
 (4) ☐ Pediatric surgery **or** ☐ Pediatric surgery not  
 included in program included in program  
☐ separate section for  
 pediatric recovery  
☐ space for parents

## Number of Recovery Stations

- Policy ☐ ratio of recovery stations to procedure room is  
 determined according to projected average  
 procedure & recovery times (explained in project  
 narrative)

- 2.4.1.2(1) ☐ min. 1 recovery station per operating room  
 (2) ☐ Min. clear floor area of 80 sf for each patient station  
☐ Space for additional equipment  
☐ Min. clearance 5'-0" between patient stretchers  
☐ Min. clearance 4'-0" between patient stretchers & adjacent  
 walls (at stretcher's sides & foot)  
 (3) ☐ Provisions for patient privacy

**MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS**

Medical gases  
☐ 1 OX, 1 VAC

Medical gases  
☐ 2 OX, 2 VAC

Medical gases  
☐ 2 OX, 3 VAC

☐ Handwashing stations  
☐ min. 1 station per 4 stretchers  
☐ uniformly distributed  
☐ Access to bedpan cleaning  
 equipment  
☐ 1 OX & 1 VAC for each station  
☐ Vent. min. 6 air ch./hr  
☐ Nurses call button at each station

**ARCHITECTURAL REQUIREMENTS****MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS**

- 2.4.1.3 (1) ☐ Support areas within post-anesthesia recovery rooms  
☐ medication preparation & dispensing  
☐ supply storage  
☐ soiled linen & waste holding  
☐ charting & dictation
- (2) ☐ equipment storage space (warming cabinet, ice machine, crash cart)  
☐ out of required circulation clearances
- 2.5.6(2) ☐ Fluid waste disposal  
☐ toilet equipped with bedpan-cleaning device **or** ☐ separate clinical flushing-rim sink
- 3.7-2.4.2** ☐ PHASE II RECOVERY ROOM
- 2.4.2.2 ☐ Min. 50 sf for each patient in a lounge chair with space for additional equipment  
☐ Min. clearance 4'-0" between sides of lounge chairs & foot of lounge chairs
- 2.4.2.3 ☐ Provisions for patient privacy
- 2.4.2.4 ☐ Support spaces within Phase II recovery room  
☐ storage space for supplies & equipment  
☐ clinical work space  
☐ space for family members  
☐ nourishment facilities
- 2.4.2.5 ☐ Patient toilet room
- 3.7-2.5** ☐ SUPPORT AREAS for ORs
- 2.5.1 ☐ Control station  
☐ located to permit visual surveillance of all traffic entering restricted corridor (access to operating rooms & other ancillary clean/sterile areas)
- 2.5.2 ☐ Scrub facilities
- (1) ☐ located near entrance to each operating room (may service two operating rooms)
- (2) ☐ arranged to minimize splatter on nearby personnel or supply carts
- 2.5.3 ☐ Drug distribution station
- (1) ☐ provisions for storage & preparation of medications administered to patients
- (2) ☐ refrigerator for pharmaceuticals  
☐ double-locked storage for controlled substances
- 2.5.4 ☐ Soiled Workroom
- (1) ☐ work counter  
☐ space for waste receptacle
- (2) ☐ located within semi-restricted area
- 2.5.5 ☐ Sterilizing Facilities  
☐ Space for high-speed sterilizer or other sterilizing equipment for immediate or emergency use
- (1) ☐ located in restricted area
- (2) ☐ separate area for cleaning & decontamination of instruments prior to sterilization.
- ☐ Handwashing station
- ☐ Vent. min. 6 air ch./hr
- ☐ Handwashing station
- ☐ Handwashing station  
☐ Vent. min. 10 air ch./hr (exhaust)
- ☐ Handwashing station  
conveniently accessible
- ☐ Handwashing station  
☐ Clinical flushing-rim sink  
☐ Vent. min. 10 air ch./hr (exhaust)

**ARCHITECTURAL REQUIREMENTS****MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS**

- 2.5.7 ☐ Equipment & supply storage
- 2.5.7.1 ☐ anesthesia equipment & supply storage provisions  
for cleaning, testing & storing anesthesia equipment  
& supplies  
☐ located within semi-restricted area
- 2.5.7.2 ☐ Medical gas storage  
☐ adequate space for supply & storage  
☐ space for reserve cylinders
- 2.5.7.3 ☐ General equipment & supply storage  
☐ equipment & supplies used in surgical suite
- (1) ☐ min. floor area 50 sf for one OR, 100 sf for two ORs  
+ 25 sf per additional OR
- (2) ☐ located within semi-restricted area
- 2.5.7.4 ☐ Stretcher storage area  
☐ convenient for use  
☐ out of direct line of traffic
- 2.5.7.5 ☐ Wheelchair storage
- 2.5.7.6 ☐ Emergency equipment/supply storage  
☐ crash cart  
☐ anesthesia carts  
☐ convenient access from surgical & recovery areas
- 2.5.8 ☐ Housekeeping room  
☐ storage space for housekeeping supplies &  
equipment  
☐ exclusively for surgical suite
- 3.7-2.6 ☐ SUPPORT AREAS for Surgical Staff
- 2.6.1 ☐ Staff lounge & toilet facilities  
☐ ☐ check if service not included (only if less than 3 ORs)
- 2.6.2 ☐ Staff clothing change area
- (1) ☐ lockers  
☐ toilet room
- (2) ☐ space for donning scrub attire  
☐ arranged to encourage one-way traffic pattern  
☐ direct access from outside surgical suite  
☐ direct access to surgical suite
- 2.6.3 ☐ Staff shower  
☐ conveniently accessible to surgical suite & recovery areas
- 3.7-2.7 ☐ SUPPORT AREAS for Patients
- 2.7.1 ☐ Outpatient surgery change area
- 2.7.1.1 ☐ lockers  
☐ toilet room
- ☐ clothing change area  
☐ space for administering medications
- 2.7.1.2 ☐ Secure storage of patients personal effects
- ☐ Floor service sink  
☐ Vent. min. 10 air ch./hr (exhaust)
- ☐ Handwashing station  
☐ Vent. min. 10 air ch./hr (exhaust)
- ☐ Vent. min. 10 air ch./hr (exhaust)
- ☐ Handwashing station  
☐ Vent. min. 10 air ch./hr (exhaust)

**ARCHITECTURAL REQUIREMENTS****MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS****3.7-3**SERVICE AREAS**3.7-3.1.1.2**☐ Provisions for sanitizing clean & soiled carts**3.7-3.1.2**☐ On-site sterilizing facilities☐ check if service not included**3.7-3.1.2.1**☐ Soiled workroom☐ for exclusive use of surgical suite

(1)

☐ located in semi-restricted area

(2)

☐ a work counter☐ space for waste receptacles☐ space for soiled linen receptacles**3.7-3.1.2.2**☐ Clean assembly/workroom☐ sterilization equipment**3.7-3.1.2.1**☐ separated from soiled workroom by self-closing

(3)

door or pass-through opening for transfer of

decontaminated instruments

**3.7-3.1.2.3**☐ Clean/sterile supplies room

(2)

☐ min. 100 sf☐ min. 50 sf per operating room**3.1-3.1.1**☐ Housekeeping rooms**3.1-3.1.1.1**☐ min. one housekeeping room per floor**3.1-3.1.1.2**☐ storage for housekeeping supplies & equipment**3.1-3.2**☐ Engineering services & maintenance  
(may be shared with other departments or building  
tenants)**3.1-3.2.1**☐ equipment room for boilers, mechanical equipment &  
electrical equipment**3.1-3.2.2**☐ equipment & supply storage**3.1-3.3.1.1**☐ waste collection & storage**3.1-4.1**PUBLIC AREAS**3.1-4.1.1**☐ Entrance**3.7-4.1.1**☐ covered entrance for pickup of patients after surgery☐ accommodates wheelchairs**3.1-4.1.2**☐ Reception & information counter or desk**3.1-4.1.3**☐ Waiting space☐ Vent. min. 6 air ch./hr**3.1-4.1.4**☐ Public toilets☐ conveniently accessible from waiting area☐ access separate from patient care or staff work areas☐ Handwashing station☐ Vent. min. 10 air ch./hr (exhaust)**3.1-4.1.5**☐ Telephone for public use☐ pay phone or wall-hung standard phone (local calls)☐ conveniently accessible**3.1-4.1.6**☐ Provisions for drinking water☐ conveniently accessible**3.1-4.1.7**☐ Wheelchair storage☐ conveniently accessible

**ARCHITECTURAL REQUIREMENTS****MECHANICAL/PLUMBING/  
ELECTRICAL REQUIREMENTS****3.7-4.2**    ADMINISTRATIVE AREAS

- 4.2.1    ☐ Interview space
  - ☐ provisions for privacy
- 4.2.2    ☐ Offices
  - ☐ business office
  - ☐ offices for administrative & professional staff
- 4.2.2.1    ☐ separate from public & patient areas with provisions for confidentiality of records
- 4.2.3    ☐ Medical records
  - ☐ secure medical records storage
- 4.2.4    ☐ Multipurpose or consultation room
- 4.2.5    ☐ General storage
- 4.2.6    ☐ Support areas for staff
  - ☐ storage for staff personal effects
  - ☐ locking drawers or cabinets
- 3.2-3.2.6**    ☐ staff toilet

- ☐ Handwashing station
- ☐ Vent. min. 10 air ch./hr (exhaust)

**GENERAL STANDARDS****DETAILS & FINISHES****Corridors (3.1-5.2.1.1 & 3.7-5.2.1.1)**

- \_\_\_ Min. 8'-0" corridor width in surgical suite
- \_\_\_ Min. 5'-0" corridor width in other patient areas
- \_\_\_ Min. staff corridor width 44"
- \_\_\_ Fixed & portable equipment recessed does not reduce required corridor width
- \_\_\_ Work alcoves include standing space that does not interfere with corridor width
- ☐ check if function not included in facility

**Ceiling Height (3.1-5.2.1.2)**

- \_\_\_ Min. 7'-10", except:
  - \_\_\_ 7'-8" in corridors, toilet rooms, storage rooms
  - \_\_\_ sufficient for ceiling mounted equipment
- \_\_\_ Min. clearance 6'-8" under suspended pipes/tracks

**Exits (3.1-5.2.1.3)**

- \_\_\_ Two remote exits from each floor

**Doors (3.7-5.2.1.3 & 5.2.1.4)**

- \_\_\_ Doors to occupiable space min. 3'-0" wide
- \_\_\_ Doors for stretcher access min. 3'-8" wide
- \_\_\_ Patient toilet room doors
  - \_\_\_ outswinging or on pivots
  - \_\_\_ can be opened by staff in an emergency

**Glazing (3.1-5.2.1.5):**

- \_\_\_ Safety glazing or no glazing within 18" of floor

**Handwashing Stations Locations (3.1-5.2.1.6)**

- \_\_\_ Located for proper use & operation
- \_\_\_ Sufficient clearance to side wall for blade handles

**Floors (3.1-5.2.2.2)**

- \_\_\_ Floors easily cleanable & wear-resistant
  - \_\_\_ washable flooring in rooms equipped with handwashing stations (Policy)
  - \_\_\_ wet-cleaned flooring resists detergents
- \_\_\_ Thresholds & expansion joints flush with floor surface (3.1-5.2.1.7)
- \_\_\_ Floor finishes in clean corridors, central sterile supply spaces & Class **A** operating rooms are washable
- \_\_\_ Floor finishes in Class **B** & **C** ORs are monolithic with integral base
- \_\_\_ All floor surfaces in clinical areas allow easy movement of wheeled equipment

**Walls (3.1-5.2.2.3 & 3.7-5.2.2.4)**

- \_\_\_ Wall finishes are washable
- \_\_\_ Wall finish smooth & resists chemical cleaning in clean corridors, central sterile supply spaces & Class **A** ORs
- \_\_\_ Wall finish is monolithic & resists chemical cleaning in operating rooms
- \_\_\_ Smooth & moisture resistant finishes at plumbing fixtures

**Ceilings (3.7-5.2.2.2)**

Restricted areas (operating rooms)

\_\_\_ monolithic ceilings

Semi-restricted areas

\_\_\_ monolithic ceilings

**or** \_\_\_ washable ceiling tiles  
 \_\_\_ gasketed or clipped-down joints

**ELEVATORS**

- |   |           |  |
|---|-----------|--|
| ___ Min. one elevator in multistory facility<br>___ min. interior dimension 5'-0"<br>___ each elevator meets requirements of <b>3.1-6.2</b> | <b>or</b> | ___ Each floor has an entrance located at outside grade level or handicapped accessible by ramp from outside grade level |
|---|-----------|--|

**PLUMBING****Handwashing station equipment**

- \_\_\_ handwashing sink
- \_\_\_ hot & cold water supply
- \_\_\_ soap dispenser
- \_\_\_ hand-drying provisions

**Sink controls (1.6-2.1.3.2)**

- \_\_\_ wrist controls or other hands-free controls at all handwashing sinks
- \_\_\_ blade handles max. 4½" long

**Drainage Systems**

- \_\_\_ No drainage piping above ceiling in operating rooms
- \_\_\_ No floor drain in operating rooms

**Medical Gases**

- \_\_\_ Medical gas outlets provided per Table **3.1-2**
- \_\_\_ No flammable anesthetics (3.7-6.1.1)

**MECHANICAL (3.1-7.2)**

- \_\_\_ Ventilation airflows provided per Table **2.1-2**
- \_\_\_ Exhaust fans located at discharge end (7.2.5.3(1)(c))
- \_\_\_ Fresh air intakes located min. 25 ft from exhaust outlet or other source of noxious fumes (7.2.5.4(1))
- \_\_\_ Contaminated exhaust outlets located above roof (7.2.5.4(2))
- \_\_\_ Ventilation openings min. 3" above floor (7.2.5.4(4))
- \_\_\_ Min. two filter beds (efficiencies 30% & 90%) per Table **3.1-1**